

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

| | | | |
|-------------|---|-------------------|-----------------|
| Applicant: | Christopher D. Giles | Docket No.: | 49335.1200 |
| Patent No.: | 7,315,978 | Issued: | January 1, 2008 |
| Serial No.: | 10/710,748 | Examiner: | Chau T. Nguyen |
| Filed: | July 30, 2004 | Group Art Unit: | 2176 |
| Title: | SYSTEM AND METHOD FOR REMOTE COLLECTION OF DATA | Confirmation No.: | 4747 |

REQUEST FOR CERTIFICATE OF CORRECTION
UNDER 37 C.F.R. § 1.322

Attn: Certificate of Correction Branch
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Commissioner:

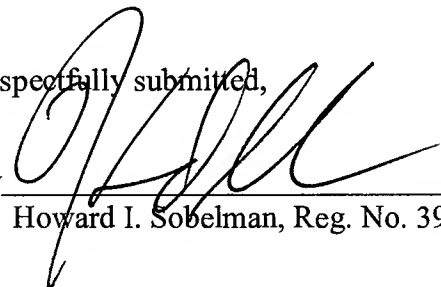
Pursuant to 37 C.F.R. §1.322, Patentee hereby requests a Certificate of Correction be issued to correct an error noticed in the issued patent.

Applicants assert that there are typographical errors in the claims of the issued patent. Specifically, in Claims 1, 7 and 13 the word "undated" should be "updated". These are typographical errors by the Office. Attached is a copy of the Notice of Allowance with the Examiner's Amendment showing the proper claim language for Claims 1, 7 and 13.

If there are any questions or unresolved issues, the undersigned would welcome a telephone call to the number shown below.

Respectfully submitted,

By


Howard I. Sobelman, Reg. No. 39,038

Date: January 22, 2008

SNELL & WILMER L.L.P.
One Arizona Center
400 East Van Buren
Phoenix, AZ 85004-2202
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UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,315,978
APPLICATION NO.: 10/710,748
ISSUE DATE : January 1, 2008
INVENTOR(S) : Christopher David Giles

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In column 17, line 64, please delete "undated" and replace with --updated--.
In column 18, line 4, please delete "undated" and replace with --updated--.
In column 18, line 8, please delete "undated" and replace with --updated--.
In column 18, line 9, please delete "undated" and replace with --updated--.
In column 18, line 11, please delete "undated" and replace with --updated--.
In column 18, line 15, please delete "undated" and replace with --updated--.
In column 18, line 53, please delete "undated" and replace with --updated--.
In column 19, line 12, please delete "undated" and replace with --updated--.
In column 19, line 16, please delete "undated" and replace with --updated--.
In column 19, line 17, please delete "undated" and replace with --updated--.
In column 19, line 25, please delete "undated" and replace with --updated--.
In column 19, line 29, please delete "undated" and replace with --updated--.
In column 20, line 1, please delete "undated" and replace with --updated--.
In column 20, line 5, please delete "undated" and replace with --updated--.
In column 20, line 7, please delete "undated" and replace with --updated--.
In column 20, line 9, please delete "undated" and replace with --updated--.

MAILING ADDRESS OF SENDER (Please do not use customer number below):

Howard I. Sobelman, Snell & Wilmer L.L.P., One Arizona Center, 400 E. Van Buren, Phoenix, AZ 85004

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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NOTICE OF ALLOWANCE AND FEE(S) DUE

20322 *415* 7590 10/31/2007

SNELL & WILMER L.L.P. (Main)
400 EAST VAN BUREN
ONE ARIZONA CENTER
PHOENIX, AZ 85004-2202

RECEIVED

NOV 05 2007

SNELL & WILMER

EXAMINER

NGUYEN, CHAU T

ART UNIT

PAPER NUMBER

2176

DATE MAILED: 10/31/2007

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|-------------|----------------------|---------------------|------------------|
| 10/710,748 | 07/30/2004 | Christopher D. Giles | 49335.1200 | 4747 |
| TITLE OF INVENTION: SYSTEM AND METHOD FOR REMOTE COLLECTION OF DATA | | | | |

| APPLN. TYPE | SMALL ENTITY | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|----------------|--------------|---------------|---------------------|----------------------|------------------|------------|
| nonprovisional | NO | \$1440 | \$300 | \$0 | \$1740 | 01/31/2008 |

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. **PROSECUTION ON THE MERITS IS CLOSED.** THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. **THIS STATUTORY PERIOD CANNOT BE EXTENDED.** SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

- A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.
- B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

- A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

NOTED FOR RECEIPT *Ck related apps & review forms 12/31/07*

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*312 amend 1/31/08
issue fee (2 forms) 1/2/08*



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|--|-------------|----------------------|---------------------|------------------|
| 10/710,748 | 07/30/2004 | Christopher D. Giles | 49335.1200 | 4747 |
| 20322 | 7590 | 10/31/2007 | EXAMINER | |
| SNELL & WILMER L.L.P. (Main) 400 EAST VAN BUREN ONE ARIZONA CENTER PHOENIX, AZ 85004-2202 | | | NGUYEN, CHAU T | |
| | | | ART UNIT | PAPER NUMBER |
| | | | 2176 | |
| DATE MAILED: 10/31/2007 | | | | |

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 222 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 222 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Notice of Allowability

Application No.

10/710,748

Examiner

Chau Nguyen

Applicant(s)

GILES, CHRISTOPHER D.

Art Unit

2176

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 08/16/2007.

2. ☒ The allowed claim(s) is/are 1-13.

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All b) ☐ Some* c) ☐ None of the:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. _____.

3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.

(a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached

1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.

(b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)

2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3. ☐ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____

4. ☐ Examiner's Comment Regarding Requirement for Deposit
of Biological Material

5. ☐ Notice of Informal Patent Application

6. ☒ Interview Summary (PTO-413),
Paper No./Mail Date _____

7. ☒ Examiner's Amendment/Comment

8. ☒ Examiner's Statement of Reasons for Allowance

9. ☐ Other _____

EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Howard Sobelman, Reg. No. 39,038 on 10/23/2007.

The application has been amended as follows:

1. (currently amended) A method for managing electronic forms, said method including:

establishing a connection from a remote device to a host, wherein said host interrogates said remote device to identify remote executable code and remote form components;

causing said host to calculate a first remote hash value for said remote executable code, wherein said first remote hash value is compared with a first host hash value for a corresponding first host executable code;

receiving said host executable code to update said remote executable code to create updated remote executable code, wherein said host executable code is received from said host when said first remote hash value does not match said first host hash

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value and, wherein said remote executable code is not updated when said first remote hash value does match said first host hash value;

updating said remote executable code with said updated host executable code;
causing said host to calculate a second remote hash value for said remote form components, wherein said second remote hash value is compared with a second host hash value for corresponding host form components;

receiving said host form components to update said remote form components to create updated remote form components, wherein said host form components is received from said host when said second remote hash value does not match said second host hash value and, wherein said updated remote form components are used by said updated remote executable code to compile forms and, wherein said remote form components are not updated when said second remote hash value does match said second host hash value;

updating said remote form components with said updated remote form components;

receiving, at a said remote device, a plurality of host forms having form fields from a said host;

compiling, by said updated remote executable code, a subset of said updated remote form components plurality of host forms based upon a service type selection, wherein said updated remote form components include form fields;

receiving form data into said form fields of said subset of said updated remote form components plurality of host forms to create a plurality of remote forms;

validating said form data to identify at least one of: missing data and improperly formatted data;

receiving corrected form data when said at least one of: missing data and improperly formatted data is identified;

storing said form data in a remote database; and,
communicating with said host to transmit said form data to said host, thereby causing said host to map said form data to database record fields within a host database, causing said host to ~~calculate data field hash values~~ to determine when a data change to a value in said data field exists and, causing said host to synchronize said host database with said form data when said data change exists.

2. (currently amended) The method of claim 1, further including synchronizing said subset of said host form components ~~plurality of host forms~~ with said remote database.
3. (previously presented) The method of claim 1, further including synchronizing a host application with a remote application.
4. (previously presented) The method of claim 1, wherein causing said host to map includes causing said host to map using pre-determined mapping rules.

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5. (previously presented) The method of claim 1, wherein said step of causing said host to calculate hash values includes:

determining a first hash value based on said form data;

determining a second hash value based on a record of said host database

corresponding to said form data; and,

determining whether there is a difference between said first hash value and said second hash value.

6. (original) The method of claim 1, further including verifying credentials of a user of said remote device.

7. (currently amended) The method of claim 1, wherein said compiling further includes arranging said subset of said updated remote form components plurality of ~~host forms~~ according to a predefined order.

8. (previously presented) The method of claim 1, wherein said service type selection includes at least one of retirement account, investment account, line of credit, banking, and insurance.

9. (previously presented) The method of claim 1, further including converting free-hand text entry of said form data into text.

10. (previously presented) The method of claim 1, further including replicating authentication data from said host to said remote device.
11. (previously presented) The method of claim 1, further including replicating customer data from said host to said remote device.
12. (previously presented) The method of claim 1, further including processing said data to verify at least one of spelling and format.
13. (currently amended) A machine-readable medium having stored thereon a plurality of instructions, the plurality of instructions when executed by a processor, cause said processor to perform a method comprising the steps of:
 - establishing a connection from a remote device to a host, wherein said host interrogates said remote device to identify remote executable code and remote form components;
 - causing said host to calculate a first remote hash value for said remote executable code, wherein said first remote hash value is compared with a first host hash value for a corresponding first host executable code;
 - receiving said host executable code to update said remote executable code to create updated remote executable code, wherein said host executable code is received from said host when said first remote hash value does not match said first host hash

value and, wherein said remote executable code is not updated when said first remote hash value does match said first host hash value;

updating said remote executable code with said updated host executable code;

causing said host to calculate a second remote hash value for said remote form components, wherein said second remote hash value is compared with a second host hash value for corresponding host form components;

receiving said host form components to update said remote form components to create updated remote form components, wherein said host form components is received from said host when said second remote hash value does not match said second host hash value and, wherein said updated remote form components are used by said updated remote executable code to compile forms and, wherein said remote form components are not updated when said second remote hash value does match said second host hash value;

updating said remote form components with said updated remote form components;

receiving, at a said remote device, a plurality of host forms having form fields from a said host;

compiling, by said updated remote executable code, a subset of said updated remote form components plurality of host forms based upon a service type selection, wherein said updated remote form components include form fields;

receiving form data into said form fields of said subset of said updated remote form components plurality of host forms to create a plurality of remote forms;

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validating said form data to identify at least one of: missing data and improperly formatted data;

receiving corrected form data when said at least one of: missing data and improperly formatted data is identified;

storing said form data in a remote database; and,

communicating with said host to transmit said form data to said host, thereby causing said host to map said form data to database record fields within a host database, causing said host to ~~calculate data field hash values~~ to determine when a data change to a value in said data field exists and, causing said host to synchronize said host database with said form data when said data change exists.

REASONS FOR ALLOWANCE

1. The following is a statement of reasons for the indication of allowable subject matter:

In interpreting the claims in light of the specification and applicant's arguments, the Examiner finds the claimed invention is patentably distinct from the prior art of record.

The prior art of record includes Champagne et al. (Champagne), US Patent Application Publication No. US 2005/0086199, Sherman et al. (Sherman), US Patent No. 6,636,897, Boothby et al. (Boothby), US Patent Application Publication No. US 2002/0048764, Chen et al. (Chen), US Patent Application Publication No. US 2002/0049751, Hunkins et al. (Hunkins), US Patent No. 6,141,663, and Feague et al. (Feague), US Patent Application Publication No. US 2005/0013104.

Champagne discloses transmitting data stored in a plurality of fields of plurality of records of a first database (a host) to a second database (remote device) (page 1, [0009], [0011]). Champagne further discloses the remote database translates (compiles) the records or that only those records fitting particular criteria (page 1, [0014] and page 4, [0045]). Champagne further discloses the records includes name, last name, first name, middle name, address, etc. to create a record structure and the host data transfer program automatically correlates the fields of the records of the remote data base to the fields of the records of the host database (page 3, [0035]-[0036], page 4, [0050]). Champagne further discloses the remote computer sends the host computer

the record structure data packet and maps the records of remote database to the records of host database (page 3, [0032], page 4, [0043]-[0047]), and then synchronizes the records of host database with the received records of the remote database (page 5, [0060]).

Sherman discloses synchronizing a selected subset of an e-mail folder hierarchy between server and client computing systems by defining the subset of the email folder hierarchy as the group of folders associated with a particular branch of the mail folder hierarchy (col. 7, line 51 – col. 8, line 13).

Boothby discloses information sent to the second computer (remote computer) can include information identifying the deleted records or added records (data change), and the information can also include a code based, which may be a hash number (page 1, [0013] and page 3, [0036]). Boothby further discloses computing a hash number to determine if the computed hash number for the record does not match the hash value of the record in the history file record, the remote segment assumes that the record has been change since the previous synchronization, and therefore, the remote segment sends the host computer the field values including the unique ID and a "changed" flag to be synchronized (page 6, [0067]-[0070]).

Claim 1 is allowed because the prior art of record does not expressly disclose alone or in combination calculate a remote hash value for the remote form components which include form fields or record fields, compare the remote hash value with a host hash value for corresponding host form components, receiving the host form components to update said remote form components to create updated remote form

components, wherein said host form components is received from said host when said remote hash value does not match said host hash value, wherein said updated remote form components are used by said updated remote executable code to compile forms and wherein said remote form components are not updated when said remote hash value does match said host hash value, and updating said remote form components with said updated remote form components.

2. The dependent claims 2-12 further limit independent claim 1. The independent claim 13 includes similar limitations as the independent claim 1 and therefore is considered allowable for the same reasons set forth for claim 1.

3. Any comments considered necessary by applicant must be submitted no later than the payment of the Issue Fee and, to avoid processing delays, should preferably accompany the Issue Fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Art Unit: 2176

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Chau Nguyen whose telephone number is (571) 272-4092. The Examiner can normally be reached on Monday-Friday from 8:30 am to 5:30 pm.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Doug Hutton, can be reached at (571) 272-4137.

The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306. On July 15, 2005, the Central Facsimile (FAX) Number will change from 703-872-9306 to 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Chau Nguyen
Patent Examiner
Art Unit 2176

/Doug Hutton/
Doug Hutton
Supervisory Primary Examiner
Technology Center 2100

| | | | |
|--------------------------|-----------------|-----------------------|--|
| Interview Summary | Application No. | Applicant(s) | |
| | 10/710,748 | GILES, CHRISTOPHER D. | |
| | Examiner | Art Unit | |
| | Chau Nguyen | 2176 | |

All participants (applicant, applicant's representative, PTO personnel):

(1) Chau Nguyen (3) _____

(2) Howard Sobelman, Reg. No. 39,038 (4) _____

Date of Interview: 23 October 2007.

Type: a) ☒ Telephonic b) ☐ Video Conference
c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☐ No.
If Yes, brief description: _____

Claim(s) discussed: 1, 2, 7 and 13.

Identification of prior art discussed: _____

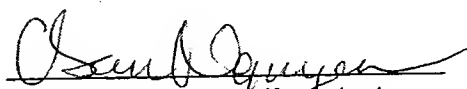
Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Mr. Sobelman has authorized the examiner to amend claims 1-2, 7 and 13 as shown in the examiner's amendments.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.


Examiner's signature, if required

Summary of Record of Interview Requirement.

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed; and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Notice of References CitedApplication/Control No.
10/710,748Applicant(s)/Patent Under
Reexamination
GILES, CHRISTOPHER D.Examiner
Chau NguyenArt Unit
2176

Page 1 of 1

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NON-PATENT DOCUMENTS

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*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
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